

18 May 2009

**Managers' Internal Control Program Responsibilities**  
**OOIG4, Follow-Up Specialist**

Responsibilities as Follow-Up Specialist per references (a), (b) and this instruction:

1. Assist BUPERS OOIG3 with quality assurance visits at NAVCRUITCOM.
2. Receive, staff, and monitor management control weaknesses reported by BUPERS OOIG3 which cannot be corrected at the NAVCRUITCOM level.
3. Receive, staff, and respond to BUPERS OOIG3 higher echelon initiated management control reviews and all internal control material weaknesses reported to higher echelon MIC offices by DoD, SECNAV, Chief of Naval Educational and Training, and other DoN offices and commands. This includes reviews and engagements from agencies such as the Naval Audit Service (NAVAUDSVC), Government Accountability Office (GAO), and Fleet and Industrial Supply Center (FISC).
4. Receive and staff Naval Inspector General's (NAVINSGEN) Annual Risk/Opportunity Assessment (ROA) data call enabling the Naval Inspector General (NAVINSGEN) and the Naval Audit Service (NAVAUDSVC) to concentrate efforts in areas of greater concern for operational readiness of NAVCRUITCOM. Prepare and submit command inputs, changes or updates to NAVCRUITCOM Deputy Commander for approval and signature. Submit to BUPERS OOIG ROA team prior to stated due date.
5. Participate as part of the BUPERS IG ROA team consolidating all submissions and prioritizing risk and opportunities in areas of concern for CNO.
6. Receive and staff Command Self Assessments; identify functions to be assessed and assist departments with responses until no further action is required. Consolidate and prepare submission to BUPERS OOIG3.
7. Assist BUPERS OOIG3 with NAVCRUITCOM Command Inspection. Receive, staff, and prepare responses to BUPERS OOIG3 Command Inspection Implementation Status Reports (ISRs) providing periodic status reports on each recommendation until no further action is required.

18 May 2009

8. Prepare the Annual NAVCRUITREG and NAVCRUITDIST Managers' Internal Control Program Certification Statement for NAVCRUITCOM Deputy Commander's approval and signature, providing reasonable assurance that management controls within subordinate commands have been assessed to be in place, working efficiently, and effectively. This SOA and all supporting documentation will be retained in the MIC Program files.

9. Prepare the Annual NAVCRUITCOM Managers' Internal Control Program Certification Statement. Ensure SOA statement provides reasonable assurance of the existence of administrative and accounting controls which prevent or lessen the risk of fraud, waste, or abuse in program administration or operations.

10. Ensure management control weaknesses or deficiencies that cannot be resolved at the command level and control-related accomplishments are included in the SOA and ROA.

11. Submit for NAVCRUITCOM Deputy Commander's approval and signature. Submit signed Statement of Assurance (SOA) to BUPERS OOIG3.

12. Ensure all required FMFIA documentation is captured, assembled and retained as NAVCRUITCOM MIC Program files.

13. Ensure all management control reviews (and assessments) and all internal control material weaknesses are documented using enclosures (14) and (15). This includes, but not limited to, reviews and engagements from agencies such as the Naval Audit Service (NAVAUDSVC), Government Accountability Office (GAO), and Fleet and Industrial Supply Center (FISC).

14. Obtain from N7, a dated and signed copy of the Executive Summary of each NAVCRUITDIST Command Inspection report and a copy of the Post NIT Report with assessment synopsis and completion of actions taken.

15. Obtain from NAVCRUITREGs and NAVCRUITDISTs, a dated and signed copy of the results of inspections, POA&Ms of deficiencies identified, and completion document with actions taken.

16. Complete enclosure (2) and attach the documents from item 14 and 15 to substantiate management controls within subordinate commands have been assessed and deficiencies identified.

18 May 2009

17. Coordinate with HQ departments and N7 to modify checklists when control improvements are identified.

18. Coordinate with HQ departments to modify required reports, enclosure (12), as identified.